



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/619,693	
	Filing Date	July 15, 2003	
	First Named Inventor	Simpson	
	Art Unit	3747	
	Examiner Name		
Total Number of Pages in This Submission	5	Attorney Docket Number	BW-DKT00047A

<b>ENCLOSURES (Check all that apply)</b>		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Postcard 2 References
Remarks		

<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>	
Firm or Individual name	Brown & Michaels, PC
Signature	
Date	3/3/2004

<b>CERTIFICATE OF TRANSMISSION/MAILING</b>		
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.		
Typed or printed name	Judy H. Barron	
Signature		Date 3/3/04

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**THE COMMISSIONER OF PATENTS AND TRADEMARKS**  
Washington, D.C. 20231

In re the application of: Simpson  
For: VCT PHASER HAVING AN ELECTROMAGNETIC LOCK SYSTEM FOR  
SHIFT AND LOCK OPERATION

Filed: July 15, 2003  
Application No.: 10/619,693  
Art Unit: 3747  
Attorney Docket No.: BW-DKT00047A

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

**List of Sections Forming Part of This Information Disclosure Statement**

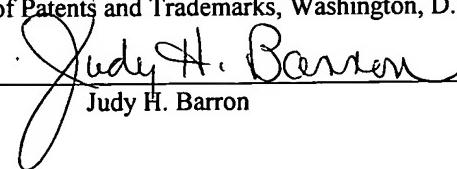
The following sections are being submitted for this information Disclosure Statement

1. [X] Preliminary Statements
2. [X] FORM PTO - 1449 (Modified)
3.  Statement As To Information Material To Examination Not Found in Patents or Publications
4.  Identification of Prior Application In Which Listed Information Was Already Cited and For Which No Copies Are Submitted Or Need Be Submitted.
5.  Cumulative patents or Publications
6. [X] Copies of Listed Information Items Accompanying This Statement
7.  Concise Explanation of Non-English Language Listed Information Items.
8.  Translation(s) of Non-English Language Documents
9.  Certification under MPEP 609(e)
10. [X] Identification of Person(s) Making This Information Disclosure Statement

---

**CERTIFICATE OF MAILING**

[X] Certified Mail No: 7003 0500 0002 3235 1766 Date: 3-3-04  
I hereby certify that this correspondence is being deposited with the United States Postal Service, return receipt requested in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231 on this date.

  
Judy H. Barron

## **Section 1. Preliminary statements**

Applicant submits herewith patents, publications or other information of which he is aware, which he believes may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.56(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

## **Section 2. Form PTO - 1449 (Modified) (SEE ATTACHMENT)**

\*EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through citation if not in conformance or not considered. Include a copy of this form with the next communication to applicant.

## **Section 3. Statement As To Information Material For Examination Not Found in Patents or Publications (Information not listed in PTO 1449)**

## **Section 4. Identification of Prior Application in Which Listed Information Was Already Cited and For Which No Copies Are Submitted Or Need Be Submitted**

## **Section 5. Cumulative Patents or Publications**

Item(s)

are cumulative of the following patents or publication listed on Form PTO 1449 (modified):

In accordance with 37 CFR 1.98(c) a copy of \_\_\_\_\_ is being submitted with this information disclosure statement.

## **Section 6. Copies of Listed Information Items Accompanying This Statement**

Legible copies of all items listed accompany this information statement.

Exception(s) to above:

- Items in prior application from which an earlier filing date is claimed for this application as identified in Section 4.
- Cumulative patents or publications identified in Section 5.

## **Section 7. Concise Explanation of Non-English Language Listed Information Items**

## **Section 8. Translation(s) of Non-English Language Documents**

- Submitted herewith is an English translation of the following foreign language patents, publications or information or of those portions of those patents, publications or information considered to be material:
  - No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
  - The following foreign language documents submitted are believed to be the equivalent or



substantial equivalent of the English language documents identified below, which are also submitted herewith.

### Section 9. Certification under Rule 1.97

[X] The undersigned hereby certifies that:

- a. This Statement is being filed after the latest of (1) three months after the filing date of a national application; (2) three months after the date of entry of the national stage as set forth in w 1.491 in an international application; (3) the mailing date of a first Office action on the merits.
- b. The fee set forth in §1.17(p)

Is being paid with this Information Disclosure Statement

[X] Is not due because:

- [X] (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement, or
- (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the statement.

### Section 10. IDENTIFICATION OF PERSON(S) MAKING THIS INFORMATION DISCLOSURE STATEMENT

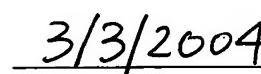
The person making this statement is

(a)  the inventor(s) who signs below

(b) [X] \_\_\_\_\_ the attorney who signs below on the basis of:

- the information supplied by the inventor(s)  
 an individual associated with the filing and prosecution of this application (37 CFR 1.56(c)).  
[X] the information in the attorney's file

  
Frank Tian, Registration No.: 46,462  
BROWN & MICHAELS, PC  
400 M&T Bank Building, 118 N. Tioga Street  
Ithaca, New York 14850-4343  
Voice: (607) 256-2000      Fax: (607) 256-3628  
e-mail: tian@bpmlegal.com  
Customer number: 32175

  
Date:



Section 8. Form PTO - 1449 (Modified) (ATTACHMENT)

FORM PTO-1449 U.S. DEPT. OF COMMERCE (Modified) PATENT AND TRADEMARK OFFICE	ATTY DOCKET NO. BW-DKT00047A	SERIAL NO. 10/619,693
	APPLICANT Simpson et al	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	FILING DATE 07/15/2003	GROUP 3747

**U.S. PATENT DOCUMENTS**

Exam Initial		DOCUMENT NUMBER	DATE	PATENTEE	CLASS	SUB	FILING DATE IF APPROPR
	AZ	5,785,018	07/28/98	Schebitz, M.	123	90.17	
	BA	6,053,138	04/25/2000	Trzmiel et al.	123	90.17	
	BB	6,382,155	05/07/2002	Simpson, R.	123	90.17	
	BC	20010006050	07/05/2001	Heer, S.	123	90.17	

**FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION**

Exam Initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB	TRANSLATION YES   NO
	BD	EP 1 114 917 A	07/11/2001	Europe	F01L 1/34		Abstract - US 20010006050
	BE	DE 40 07 181 A1	09/12/1991	Germany	F01L 1/34		Abstract - EP0518898

**OTHER PRIOR ART**

Exam Initial		Author, Title, Date, Pertinent Pages, Etc
EXAMINER		DATE CONSIDERED